



LIBRARY OF VIRGINIA

Archives, Records, and Collections Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE SPECIFIC SCHEDULE NO. 172-001 Lottery Dept., State

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY

AGENCY RECORDS OFFICER

Paula I. Offo
Shirley DeGarcia

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY

Sandra S. Zuckerman

EFFECTIVE SCHEDULE DATE:

JUL 19 2013

POLICIES FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the Code of Virginia for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.

7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of the Virginia Administrative Code, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
9. Under the Virginia Public Records Act, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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EFFECTIVE SCHEDULE DATE: 7/19/2013

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Instant Ticket Vending Machine(ITVM) and Lottery Express (LE) Reconciliations</u> This series documents all Instant Ticket Vending Machine (ITVM) and Lottery Express (LE) transactions reported to accounting. This series may include, but is not limited to: ticket inventory and deposits.	009501	3 Years after end of state fiscal year	Confidential Destruction
<u>Issue/Return Transaction Reports</u> This series documents daily ticket sales to retailers by lottery sales representatives and returned tickets from retailer to be processed for credit. This series may include, but is not limited to: returned tickets and transaction reports.	100203	1 Year after end of state fiscal year	Non-confidential Destruction
<u>Lottery Drawing and Tax Withholding Records</u> This series documents the performance of lottery drawings, including numbers drawn, machines used, ball sets used, and names of officials and witnesses in attendance. This series may include, but is not limited to: second chance and promotional drawings, and federal and state tax withholding deposits.	100204	5 Years after end of state fiscal year	Confidential Destruction
<u>Pack Transfer Reports</u> This series documents the transfer of lottery tickets between warehouses, including starting and pack numbers for tickets transferred. This series may include, but is not limited to: logs and registers.	100205	1 Year after end of state fiscal year	Non-confidential Destruction
<u>Paid Claims</u> This series documents the payment of claims presented to retailer or Lottery offices. This series may include, but is not limited to: Original winner claim form, winning ticket, and system-generated check stubs.	100206	2 Years after end of state fiscal year	Confidential Destruction



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Regional Office Retailer Orders and Cash Receipts Log</u> This series documents over-the-counter ticket sales to retailers by regional offices, including amount of sale, check number, and seller. This series may include, but is not limited to: invoices, and daily log of sales.	100209	18 Months after last action	Non-confidential Destruction
<u>Retailers Master Files</u> This series documents the cancellation of a retailer's ability to order and sell lottery tickets. This series may include, but is not limited to: applications, tax documents, credit reports, criminal background certification, surety bond, device agreements, and correspondence.	100210	2 Years after last action	Confidential Destruction
<u>Trunk Stock Audits and Reports</u> This series documents the verification of the specific lottery games and the stock amounts of each game that Lottery sales representatives have in their possession. This series may include, but is not limited to: audits and reports.	009504	2 Years after end of state fiscal year	Non-confidential Destruction
<u>Virginia Lottery Subscription Games</u> This series documents individual subscriptions to the Virginia Lottery Subscription Games. This series may include, but is not limited to: subscribers original applications, renewal forms, check copies, deposits, correspondence and reports.	009503	3 Years after end of state fiscal year	Confidential Destruction